



USAID | **AFGHANISTAN**
FROM THE AMERICAN PEOPLE

***REGIONAL AFGHAN MUNICIPALITIES PROGRAM
FOR URBAN POPULATIONS
REGIONAL COMMMAND WEST
(RU-W)***

**Option Year #1 Work Plan
November 14 2011 to November 13 2012**

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Submitted By:
Development Alternatives, Inc.



In Association With:

International City/County Management Association (ICMA)
Development and Training Services, Inc. (dTS)
National Research Center, Inc. (NRC)
URS Group

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Abbreviations

ACSS	Afghanistan Civil Service Support Program (USAID)
AMSP	Afghanistan Municipal Strengthening Program (USAID / ICMA)
ANDS	Afghanistan National Development Strategy
ASMED	Afghanistan Small and Medium-Sized Enterprise Development (USAID / DAI)
ASGP	Afghan Sub-national Governance Program (UNDP)
AUWSC	Afghanistan Urban Water and Sanitation Corporation
CLIN	Contract Line Item Number
CO	Contracts Officer
COP	Chief of Party
COTR	Contracting Officer's Technical Representative
DAI	Development Alternatives Incorporated
DoWA	Department of Woman's Affairs
EA	Embedded Advisor
EDC	Education Development Center, Inc. (USAID Implementing Partner)
EMMP	Environmental Mitigation and Monitoring Plan
GDMA	General Department of Municipal Affairs (Office within IDLG)
GIRoA	Government of the Islamic Republic of Afghanistan
GIS	Geographic Information System
HO	Home Office
IARCSC	Independent Administrative Reform and Civil Service Commission
ICMA	International City/County Management Association (RU-W Subcontractor)
IDLG	Independent Directorate of Local Governance
IEE	Initial Environmental Examination
IP	Implementing Partner
IR	Intermediate Result
ISAF	International Security Assistance Force
KCI	Kabul City Initiative

LOP	Life of Project
M&E	Monitoring and Evaluation
MIS	Management Information System
MOU	Memorandum of Understanding
MRRD	Ministry of Rural Rehabilitation and Development
MIP	Municipal Improvement Plan
MUDA	Ministry of Urban Development Affairs
NGO	Non-Governmental Organization
NINF	Non-Infrastructure (project)
NSP	National Solidarity Program
O&M	Operations and Maintenance
PAR	public administration reform
PDC	Provincial Development Committee
PMP	Performance Management Plan
POP	Period of Performance
PRT	Provincial Reconstruction Team
RAMP UP	Regional Afghan Municipalities Program for Urban Populations (USAID program)
RC (E,W,N,S)	ISAF Regional Command East, West, North, South
SMAP	Strategic Municipal Action Plan
SME	Small and Medium Enterprise
SMGA	Senior Municipal Governance Advisor (RU-W Key Personnel)
SOP	standard operating procedures
SWM	solid waste management
SO	Strategic Objective
UN	United Nations
UNDP	United Nations Development Program
USAID	United States Agency for International Development
USG	United States Government

Terms

gozar	Neighborhood
nahia	Municipal District
wakil or kalantar	nahia or gozar representative
Mustoufiat	subnational representative office for Ministry of Finance
Tashkeel	administrative structure of a GIRoA entity
Safayi tax	service charge and property tax
Sharwali	Municipality
Moqarara	Regulation

BACKGROUND

The Regional Afghan Municipalities Program for Urban Populations, Regional Command West (RU-W) was established with the purpose of creating effective, responsive, democratic, transparent, accountable municipal governance in the four provinces that comprise the International Security Assistance Force's (ISAF's) Regional Command West. The RAMP UP West (RU-W) contract was awarded on November 13, 2010. However, due to the issuance of Presidential Decree 62 (Dissolution of Private Security Companies), and the resulting uncertainty of the operating environment for international development organizations, in-country mobilization was initially put on hold.

On February 22, 2011, at the request of USAID/ Afghanistan, DAI submitted an Interim Mobilization Plan (IMP) for RAMP UP West with the objective to identify those tasks which could begin immediately and that were: 1) feasible within the operating environment for USAID implementing partners at the time; 2) in accordance with the terms and conditions of the contract; 3) in compliance with USAID rules and regulations; and 4) in compliance with DAI corporate policies and procedures. In response to USAID's feedback on the plan, DAI submitted a revised IMP on March 11, 2011. This was accepted by USAID and mobilization for RAMP UP West (RU-W) began on March 17, 2011.

RU-W began setting up operations, hiring staff and planning activities beginning in late March. By the beginning of June USAID had approved the initial project workplan (through March 16 2012 to coincide with actual operations beginning and not the project year), Performance Management Plan (PMP) and Public Relations and Outreach Strategy. In June USAID started providing verbal guidance on the possibility of a substantial budget reduction. As it became clearer that a budget reduction would occur, RU-W moved to curtail staff hiring and reducing program activities.

The original concept called for work in the lead provincial municipality and in various district municipalities chosen based on identified criteria. The imminent budget reduction necessitated limiting project activities to only the four provincial capital municipalities. RU-W opened offices in each municipality with embedded advisors working directly with municipal counterparts. Original plans called for basing expatriate staff in the Qala-e-Naw and Chaghcharan offices but we eliminated those due to budget concerns.

Throughout the summer as RU-W received more verbal guidance on the budget it adjusted its staffing and approach to match. RU-W chose a greater reliance on Afghan local staff and less expatriate staff. Expatriate technical advisors would concentrate on project design and mentoring the local staff on actual implementation of those designs. We had already started expeditious projects so we decided to use those as laboratories for learning and construct other program activities around them. For example, the municipal staffs in each municipality participated in the bid selection process and then we arranged

RAMP UP West Target Municipalities

Herat Province:

Herat City

Badghis Province:

Qala-e-Naw

Farah Province:

Farah City

Ghor Province:

Chaghcharan

capacity building around how to monitor construction projects and how to do quality testing. We will also help the municipalities design operation and maintenance plans to take care of the new infrastructure. We will also help the municipalities communicate to the public the good works of the municipalities, using the expeditious projects as an example. RU-West channeled (and will channel) other programming through the expeditious projects to get maximum benefit. This new workplan will continue that base year approach by integrating activities that will continue to reinforce each other. This will occur first with the anchor service. Capacity building will target improvements in the anchor service. Revenue generation activities will seek to strengthen sustainability. Anchor service improvements will include public outreach and communication actions. Activities will seek to strengthen, support and build upon other activities in a holistic and integrated approach to municipal development.

As the months progressed USAID provided more guidance to each of the RAMP Ups on how to move forward. The latest budget guidance necessitated a change in the project workplan. Therefore, RU-W presents this updated workplan that takes into account a reduced scope of activities and staffing commensurate with anticipated budget. For planning purposes, this workplan estimates a total budget of \$22 million for the Base Year plus Option Year 1. Activities described here for the Base Year will supersede the previously approved Base Year Workplan. We have proposed this new workplan to begin on November 14 so it will synchronize with the project year from hereafter.

As a result of the verbal guidance on the budget and the instructions for this updated project workplan, RU-W will make significant changes that impact the original contract. Currently, USAID and DAI have not modified the contract. USAID needs to understand and acknowledge that this workplan does not conform to all requirements of the current contract. The new funding levels anticipated and indicated to RU-W simply will not allow fulfilling all the obligations and requirements of the existing contract. For example, the existing contracts states RU-W should deliver “\$1,000,000 in visible service delivery projects per municipality per year” and that we are “required to deliver on this commitment”. Given the anticipated budget, we cannot meet this requirement. Other activities, commitments and outcomes dictated by the contract cannot happen under the anticipated budget. While we attempted to avoid cancelling contract activities altogether, more often we will focus on a more limited scope of an activity. Instead of introducing performance budgeting across the entire municipality we will concentrate on introducing it in one service as a model, which will allow future years (or projects) to build upon. The individual activities will highlight differences from the contract.

Provinces and Districts of Western Region



PROJECT OBJECTIVES

RU-W is broken into three distinct components, each labeled as a distinct Contract Line Item Number (CLIN) and tied to a specific goal. More precisely:

CLIN 1 ~ Capacity Building of the GIRoA officials at the municipal level: All activities under CLIN 1 will directly contribute to enhancing the capacity of municipal officials, managers and technicians to perform their core municipal management responsibilities. Based on an empirical understanding of the skills, capabilities, and knowledge of municipal staff, RU-W provides a combination of on-the-job mentoring, training, and advising to enable more visible, responsive, and accountable governance at the municipal level.

The specific tasks envisaged by CLIN 1 are as follows:

- Task 1: Establish Baselines*
- Task 2: Develop Municipal Management and Capacity Building Plans*
- Task 3: Build Afghan Training Capacity for Municipalities*
- Task 4: Deliver Core Skills Training*
- Task 5: Deliver Functional Skills Training*
- Task 6: Develop Standard Operating Procedures (SOPs)*
- Task 7: Support Performance-Based Budgeting*
- Task 8: Modernize Accounting Systems*
- Task 9: Increase Participation of Women*
- Task 10: Improve Strategic Communication for Citizen Awareness*
- Task 11: Support Municipal Conferences*

CLIN 2 ~ Support to the GIRoA to provide responsive, effective, and visible municipal service delivery programs: Activities carried out under CLIN 2 support municipalities in delivering visible, tangible, and desirable services to citizens in the form of municipal service delivery projects (Municipal Projects). These projects simultaneously fill two purposes: (1) the service delivery provides citizens with marked improvements in daily life, helping them gain satisfaction with and confidence in their municipal government; and (2) in executing projects hand-in-hand with municipal officials, RU-W builds capacity with a clear learning-by-doing approach, solidifying the GIRoA's capacity to sustainably deliver services to citizens in the long term.

The specific tasks envisaged by CLIN 2 are as follows:

- Task 1: Establish Baselines*
- Task 2: Ensure Immediate Service Delivery Improvements in Base Year*
- Task 3: Promote Public Engagement and Citizen Participation*
- Task 4: Develop Service Delivery Improvement Plans (SDIPs)*
- Task 5: Implement Service Delivery Improvement Plans*
- Task 6: Improve Municipal Performance Management Systems*
- Task 7: Strengthen Afghan Implementing Partners*

CLIN 3 ~ Support to the GIRoA to improve economic development and revenue generation at the Municipal level: Activities implemented under CLIN 3 directly support the growth of local economic development and strengthening of revenue generation, and thereby the municipality's ability to finance its service offerings and operating costs. As RU-W activities under CLINs 1 and 2 strengthen municipal capacity and service delivery, activities under CLIN 3 use the capacity, service improvements, and infrastructure to facilitate business growth, job creation and increased revenue collection.

The specific tasks envisaged by CLIN 3 are as follows:

- Task 1: Establish Baselines*
- Task 2: Increase Revenue Collections*
- Task 3: Increase Household and Business Registration*
- Task 4: Develop Municipal Economic Plans*
- Task 5: Strengthen Municipal Capacity to Support Economic Development*
- Task 6: Improve Municipal Services to Businesses*
- Task 7: Leverage Municipal Assets for Economic Growth*
- Task 8: Create Innovative Public-Private Partnerships*

Technical assistance, training, and on-the-job mentoring are essential elements of RU-W support to municipal administrations; a majority of the hands-on work provided by RU-W is in the form of RU-W contracted embedded technical advisors (EAs) who, in partnership with the technical experts based in Herat (with specializations in areas such as financial management, revenue generation, planning and budgeting, economic development, communications, citizen engagement, project management, performance monitoring and others), will design context-specific capacity development agendas that are tailored to each municipal administration.

LINK TO USAID STRATEGIC OBJECTIVE

This project is linked with the US Government's **Overarching Strategic Objective**, namely: To promote a more capable, accountable and effective government in Afghanistan that serves the Afghan people and can eventually function with limited international support. The project also accords with the additional Strategic Objectives and Intermediate Results, namely: to promote a Democratic Government with Broad Citizen Participation (SO 6), and to Strengthen Institutions for Good Governance (IR 6.3).

RAMP UP WEST COUNTERPARTS

Government of the Islamic Republic of Afghanistan (GIROA) Partners

PRIMARY PARTNERS:

- Independent Directorate for Local Governance (IDLG)
- Municipalities

COLLABORATING PARTNERS:

- Afghanistan Urban Water and Sanitation Corporation (AUWSC)
- Ministry of Urban Development
- Civil Service Commission
- Relevant Line Ministries (e.g. Department of Women's Affairs)

USAID Program Partners and Other Donor Partners

- Other RAMP UP Implementing Partners for RCs East, North and South
- USAID Afghan Civil Service Support Project (ACSS)
- USAID Provincial Council Support Program(PCSP)
- USAID Performance Based Governors Fund (PBGF)
- USAID Kabul City Initiative (KCI)
- UNDP Sub-National Governance Program (ASGP)

TECHNICAL APPROACH

As mentioned, as a result of the impending budget reduction, RU-W adjusted its technical approach. RU-W will continue to support municipal needs for capacity building and service delivery improvements. In each target municipality we will have a group of embedded advisors dedicated to working on a daily basis with municipal counterparts. Capacity building will not reflect general needs of the municipality but be targeted to improve capacities in support of other project activities. Service delivery improvements will focus on a single anchor service and

concentrate resources and assistance to develop sustainable, demonstrable improvements in that service. We will continue treating service delivery opportunities as practical learning opportunities for municipal officials. Municipal officials will simultaneously deliver results to the citizenry while increasing their skills and knowledge in best practices in municipal management. The expeditious projects carried out in the Base Year and associated capacity building should result in short term improvements in citizen quality of life and municipal capacity. Concentrated work with a single anchor service will work to improve municipal management over the medium term. And work in economic development will seek to position the municipalities more favorably for the long term. All activities contribute directly to short term, medium term or long term improvements in municipal management.

PROJECT OUTCOMES AND IMPACT

A companion to the work plan is RU-W's Performance Management Plan (PMP). RU-W will submit under separate cover an updated version of the PMP that also reflects the new budgetary realities. The PMP specifies how RU-W measures the outputs, outcomes and impact of its activities, articulating and tracking its success in facilitating effective, responsive, democratic, transparent, accountable and gender-sensitive municipal governance.

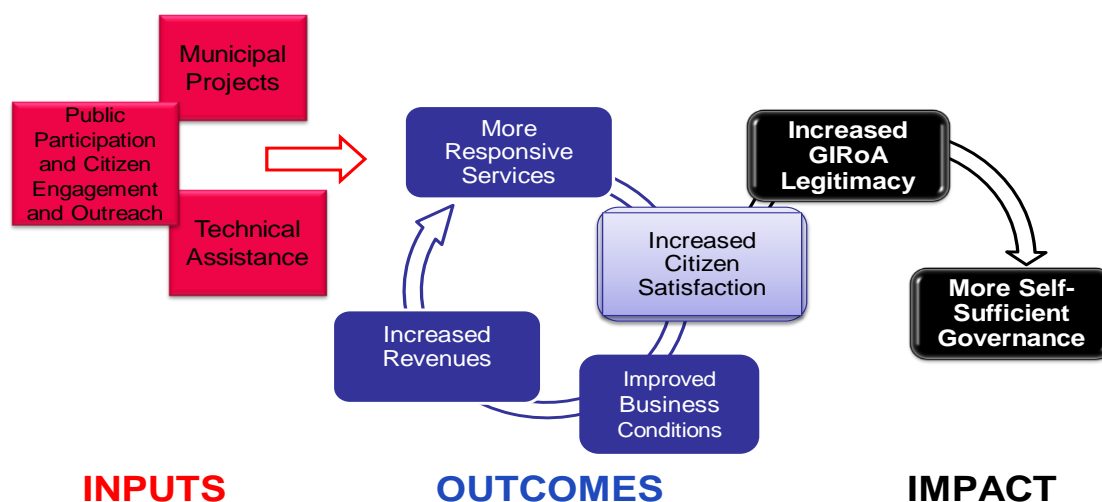
A central tenet of our approach measures RU-W project impact, and all activities described below will have accompanying requirements for data collection, measurement and documentation to clearly document, analyze and report on outputs, outcomes and impacts.

The overall goal of RU-W breaks down into three specific expected objectives: (a) Increasing the capacity of GIRoA municipal officials (CLIN 1); (b) Markedly improving the delivery of municipal services to citizens in target municipalities (CLIN 2); and (c) increasing municipal capacity to enable, support, and sustain economic growth (CLIN 3). The expected outcomes are: 1) more responsive municipal services; 2) increased citizen satisfaction; 3) improved business conditions for greater economic growth; and 4) increased revenues for the municipalities so they can maintain and improve services to citizens.

RU-W's development proposition shows that these three outcomes will lead to more self-sufficient local governance structures, perceived as credible and legitimate by the citizens they serve. The perception of legitimacy is tied to receiving better services, understanding the responsibilities of municipal leaders, as well as having a voice in municipal decision making and an ability to impact day to day decisions that affect their daily lives. By improving services, engaging citizens and facilitating economic development, the municipality can have a significant role in improving citizens' quality of life. Demonstrated improvements will place the municipality in a better position to register residents for the purpose of collecting *Safayi* taxes and to register businesses for the purpose of levying business taxes and increasing revenues, enabling it to maintain and improve upon the level of service it achieves with the help of RU-W assistance.

Environmental Mitigation and Monitoring

In accordance with USAID's Initial Environmental Examination (IEE) RU-W developed an Environmental Mitigation and Monitoring Plan (EMMP). The EMMP addresses how service delivery projects and anchor projects will be assessed, designed, implemented and monitored to mitigate environmental risk and ensure compliance with the IEE. An international Environmental Compliance Specialist finalized the EMMP and trained RU-W staff to ensure compliance.

RU-W DEVELOPMENT PROPOSITION**PROGRAM ACTIVITIES****CLIN 1: CAPACITY BUILDING OF GIROA OFFICIALS AT THE MUNICIPAL LEVEL**

During the Base Year RU-W generated the necessary baseline data to build upon with future activities. This included an internal survey of each municipality, an external citizen survey that provided citizen perceptions about the performance of the municipalities and a functional audit that looked in-depth at most city functions and operations. This data provided the basis for the Municipal Management and Capacity Building Plan. This serves as the guide for capacity building tailored to each municipality. It will address all sectors of the municipality so they will essentially have a roadmap for improving capacity across the municipality. Due to budget restrictions, RU-W will provide actual capacity building assistance most closely aligned to its anchor service and other program activities, with the expectation that municipalities can replicate these practices in other services and activities.

During the Base Year RU-W began both core and functional skills training. The initial functional training concentrated on using the expeditious projects as a vehicle to improve municipal capacity related to infrastructure development. Municipalities participated fully in the procurement process and then through the entire implementation process. RU-W provided hands-on capacity building related to all phases of the construction process. The initial findings of the functional audit also highlighted a glaring core skill deficiency in filing. RU-W began capacity building to improve (or in some cases start) filing systems. We helped develop basic guidelines for filing and then worked with various departments to implement them.

We also began working with municipalities on their strategic communications with citizens. Again, we used the expeditious projects as the driver for this activity. We worked with each municipality on ways to highlight to the community the work of the municipality on these

infrastructure projects. (The idea, approved by USAID, allowed the municipality taking full credit for the projects to gain maximum exposure for this accomplishment.) We also started efforts to develop a communications plan for each municipality and will complete this early in Option Year #1.

Activity 1.1 Establish Baselines

During the Base Year RU-W conducted the internal survey, external citizen survey and functional audits in each municipality. This provided the necessary data for determining program activities across all CLINs. In Option Year #1 RU-W will conduct another external citizen survey in each municipality (summer 2012).

This activity contributes to PMP indicators A01.1, A02.1, A02.2 and 2.3.

Activity 1.2 Develop Municipal Management and Capacity Building Plans

RU-W will complete the MMCBPs early in Option Year #1 based on the data gathered during the Base Year from Activity 1.1. RU-W will work closely with designated municipal staff in compiling these plans. The plans will form the basis of RU-W capacity building efforts. The MMCBPs in each municipality will particularly address core and functional skills that support other programming elements. For example, training that would make the anchor service better, or capacity building related to better revenue collection, etc.

This activity contributes to PMP indicators 2.1, 3.2 C1 and C2.

Activity 1.3 Build Afghan Training Capacity for Municipalities

During the Base Year RU-W developed a permanent training center for Herat municipality. The municipality provided the space and will maintain the facility and pay for all utilities, etc. RU-W renovated the space and equipped the facility. We began a review of possible options in the other three municipalities. We might use the Civil Service Commission Training Centers or find other municipal space for retrofit.

We also identified external trainers from each region and conducted a training of trainers (ToT) for the outside trainers and RU-W staff to build training capacity in the near term. In Option Year #1 RU-W will identify potential trainers in each municipality and then put them through a ToT and have them assist in actual training for experience. This will begin developing an indigenous training capacity in each municipality. It includes potential trainers inside and outside the municipalities.

This activity will contribute to PMP indicators 2.1 and C1.

Activity 1.4 Deliver Core Skills Training

In the Base Year we started work on basic core skills training highlighted in the initial internal surveys and draft data from the functional audit. The first training was roles and responsibilities of municipalities. We also started on basic filing and report writing. We helped develop some

written guidelines on filing and started implementing the guidelines in one department. We will expand this to all departments. We also found a dearth of report writing skills and began capacity building on this. Work in both of these areas will continue in Option Year #1. Also in Option Year #1 the MMCBP will drive other core skills training. In addition to filing, report writing and roles and responsibilities, likely training topics (discerned from the draft MMCBPs) include the following:

- Basic Project Management
- Proposal Writing
- Internal Communications
- Ethics, transparency and accountability

But the MMCBP will detail out the final list of trainings for Option Year #1.

Existing foundation (AMSP Urban Management Manual, Municipal Handbook) and GIRoA training materials (ACSI, AMSP, UNDP/ASGP) for municipal core skills training will be reviewed and assessed to determine their quality and relevance and will be adapted where necessary to suit the particular needs of the municipalities.

Core skills will also be developed by the direct involvement of the municipal officials in the implementation of projects, the citizen engagement process, the employment of consultants and other on-site capacity building and learning by doing activities in each municipality.

This activity will contribute to PMP indicators A01.1, A02.1, A02.2, 2.1, C1, C2 and C3.

Activity 1.5 Deliver Functional Skills Training

RU-W has already started functional skills training for municipal engineering departments, using the expeditious projects as an actual living example. In Option Year #1 the MMCBP will drive these activities. Training will directly support other RU-W programming like budgeting, financial management, revenue generation, service delivery through the anchor service, public outreach, etc. The final MMCBP will outline all training and the training schedule.

Existing foundation (AMSP Urban Management Manual, Municipal Handbook) and GIRoA training materials (ACSI, AMSP, UNDP/ASGP) for municipal core skills training will be reviewed and assessed to determine their quality and relevance and will be adapted where necessary to suit the particular needs of the municipalities. RU-W will also utilize lessons learned and best practices in training from the other RAMP Ups and the Kabul City Initiative (KCI).

This activity will contribute to PMP indicators A01.1, A02.1, A02.2, 2.1, C1 and C2.

Activity 1.6 Develop Standard Operating Procedures

In the Base Year RU-W worked on guidelines for filing in the municipalities. In Option Year #1 we will expand this into an SOP on municipal filing. We will also explore the development of an SOP(s) in the anchor service if appropriate.

This activity will contribute to PMP indicators A01.1, A02.2, 2.1 and C1.

Activity 1.7 Support Performance-Based Budgeting

RU-W had no activity in the Base Year. In Option Year #1 we will incorporate performance based budgeting through the anchor service as a model process. (In future years we can extend to other departments and ultimately the entire municipal budget.) As we work with the anchor service we will assist them to develop a budget proposal for 1391 that utilizes performance-based approaches, including the incorporation of stakeholder input and the establishment of service delivery indicators. We will take the anchor service department through budget preparation, execution and reporting stages during the year. It will include introducing a mid-year budget execution report in September to encourage timely project execution and minimize the amount of unspent funds remaining at the end of the year. We will highlight this model to other municipal officials.

We will also work with municipalities on other budget improvements. We will help municipalities develop a model budget calendar and systematic model budget process to facilitate a comprehensive, carefully thought out and timely budget submission to IDLG. This will start with a process mapping exercise of the budget cycle. We will provide other types of assistance in the run-up to the budget, including the budgeting of O&M costs, especially related to the expeditious projects. We will work with municipalities to provide opportunities for citizen input into budget decision making. The work will also include providing additional information to the public about the budget process and contents. RU-W will also provide assistance to develop more accurate estimated actual costs for services. We will start this in the anchor service but will conduct training on this and work to expand service costing principles to other services.

Through the year we will work with the municipalities on estimating fund balances available for appropriation in the next year. These fund balances are important as they are routinely used to support the municipal budgets while awaiting IDLG budget approval at the beginning of the fiscal year. Additionally, IDLG and the Ministry of Finance complain about balances of the municipalities and threaten to rescind them. This will allow the municipality to better manage its funds as well as come up with a reasonable target amount for a healthy and sustainable fund balance. (This is a part of sound financial management.) We will also work with municipalities on preparing readable and usable budget execution reports that can be used to identify budget execution problems and minimize the unspent balance that do not contribute to improving municipal services. Finally, we will also help them take the Service Delivery Action Plans (SDIPs) and develop a true capital improvement program for better capital planning which is critical to funding and executing significant infrastructure projects.

This activity will contribute to PMP indicator A02.2, 1.1 and 2.1.

Activity 1.8 Modernize Accounting Systems

RU-W had no activity during the Base Year. RU-W will not work in this area in Option Year #1 due to funding reductions. We will look at whether we have sufficient resources to work on this activity in Option Year #2. However, in Option Year #1 we will work on some basic financial management improvements. We will assist municipalities to automate their recording of monthly expenditures and revenues. They currently have forms and input the data manually. Some of these forms support required reports to the central government. We will help them develop and use a spreadsheet version to increase reporting efficiency and minimize errors. Municipalities continue to handle payrolls by hand and automating them should increase transparency. We will also assist them to automate other financial reports currently done by

hand. We will also assist and encourage them to identify mechanisms to providing these reports to the public, such as newsletters, websites, local media reports, etc.

This activity contributes to PMP indicators A02.2 and 1.2.

Activity 1.9 Increase Participation of Women

As a cross cutting activity as well, RU-W will make sure of appropriate women's participation in all program activities. As an example, during the Base Year, public engagement & citizen participation activities (2.3 below) involved women specifically to ensure the municipality hears their voice when establishing service and funding priorities. The economic development plan activity also made sure to include women on the steering committees. In Option Year #1, RU-W will develop a complete inventory of female employees working in each municipality and review all municipal policies for compliance with GIRoA gender requirements. We will work with the municipality to eliminate and policies or rules that place women at a disadvantage. We will provide gender mainstreaming training for all municipal staff. We will also provide advocacy training for women employees in each municipality. We will work in each municipality to establish a Women's Advisory Council (Shura). We will work with specifically with the Herat Advisory Council to increase their women's membership (currently 5 out of 35) and provide special technical assistance to prepare women members before each meeting so they can fully participate and contribute.

This activity will contribute to PMP indicators A02.1, A02.2 and 1.3.

Activity 1.10 Improve Strategic Communications for Citizen Awareness

In the Base Year we began working with the Culture & Information Department at Herat municipality on a communications strategy. In other municipalities we identified an individual(s) the municipality would use as responsible for communication (and citizen participation) activities. We also worked on an immediate goal of advertising the expeditious projects and worked with municipalities on billboards to place around each community to show citizens the progress municipalities are making on service delivery. In Option Year #1 we will help each municipality finalize a communications strategy. We will then assist them to implement their strategies.

This activity will contribute to PMP indicators A01.1, A02.1, A02.2, 1.3, C1 and C3.

1.11 Support Municipal Conferences

RU-W did not hold a municipal conference in the Base Year. RU-W will hold a more limited type of municipal conference in May of Option Year #1 to highlight municipal activities and success stories and discuss issues of common concern to the municipalities.

This activity will contribute to PMP indicators 1.1, 1.3, 2.1, 3.1 and 3.3

CLIN 2: SUPPORT THE GIROA TO DELIVER SERVICES TO CITIZENS IN TARGET MUNICIPALITIES AND ENHANCE CITIZEN PERCEPTION OF MUNICIPAL GOVERNANCE

During the Base Year RU-W moved quickly to work with target municipalities and their communities in planning and implementing a series of expeditious projects in each. We would implement these projects rapidly in order to meet immediate critical needs. RU-W designed these to strengthen the view by citizens of the municipality and service delivery and built support in the municipality for the project. Although scheduled for the Base Year, we will complete a few projects in Herat and Qala-e-Naw early in Option Year #1.

As a follow up to the external citizen survey RU-W and the municipalities began a series of community meetings to gather more detailed thoughts from citizens about municipal services. This will form the basis for work in Option Year #1 on selecting an anchor service and the SDIP for it. It will also provide a model to the municipality on how and when to engage citizens.

RU-W, at the urging of the municipalities and IDLG, also began work on the base mapping of land uses in each municipality. This is the first step in developing a municipal land use plan. Using the latest satellite imagery and aerial photography RU-W began plotting and digitizing all the current land uses in each municipality. We will conclude this in Option Year #1 and it provides the basis for future work to finalize a land use plan.

Activity 2.1 Establish Baselines

In the Base Year RU-W established baselines for service delivery through the internal survey, external citizen survey and the functional audit. This provided data on service delivery in the municipalities. We will conduct the external survey again in Option Year #1.

This activity contributes to PMP indicators A01.1, A02.1, A02.2 and 2.3.

Activity 2.2 Ensure Immediate Service Delivery Improvements in Year #1

RU-W worked with the municipalities and their communities to determine some immediate projects to implement. In addition to meeting some critical needs, it allowed the municipality to show its citizens some immediate improvements and it also built goodwill between RU-W and the municipalities. We did not complete a few of the projects in Herat and Qala-e-Naw and we will carry these over to Option Year #1. Also in Option Year #1 we will undertake a final project in Chaghcharan for a local park. Base Year capacity building efforts focused on using the expeditious projects as learning labs.

This activity contributes to PMP indicators A02.1, A02.2 and 2.2.

Activity 2.3 Service Delivery Improvements: Anchor Service

In the Base Year RU-W worked to develop a Solid Waste Management Plan for each municipality. This provides a roadmap for each in terms of dealing with solid waste activities. (We did this to leave a tangible product to help improve a service even if the project ended with the Base Year.) We also provided some basic data on potable water for Chaghcharan and Farah. However, in addition to the solid waste and water work, RU-W will also work with each municipality to select a single service for intensive assistance to help organize and improve it. During the base year RU-W talked with each municipality about its preference for an anchor

service and has the internal survey and functional audit for more in-depth looks at services. We also have the external survey for general citizen perceptions about services and service priorities. The public engagement process will go further in depth on citizen and public services. Once completed, we will meet with the municipality to decide on the anchor service based on all this information. We will then provide intensive assistance and support to this service. Other programming elements (capacity building, communications, budgeting, citizen participation and revenue) will all focus on providing assistance to the anchor service. We will also help them develop an estimate of the actual cost for providing this service that will help in matching it to revenues for the service. We will then help them develop and utilize simple indicators to measure the level of service delivery and provide a basis to measure improvements.

For the anchor service the municipality will establish a Service Delivery Advisory Group composed of municipal employees and citizens to look at the service and develop an action plan for improvement. RU-W will facilitate the process and help them translate the action plan into a budget proposal and SDIP for funding under the 1391 municipal budget. RU-W will also provide CLIN 2 service delivery funds to support the anchor service SDIP and action plan. The improvement action plan will include other RU-W programming elements (cited above). Performance management work will also occur in the anchor service as we will assist municipalities to develop easy-to-use indicators to track performance improvements. Information on anchor service delivery indicators collected during the 1391 budget year will be used to inform the 1392 budget proposal, thus establishing a critical feed-back loop.

This activity contributes to PMP indicators A01.1, A02.1, A02.2, 1.1, 1.3, 2.1, 2.2, 2.3, 3.1 and C1.

Activity 2.4 Promote Public Engagement and Citizen Participation

Toward the end of the Base Year, RU-W and the municipalities started a community effort to further publicize the survey results but to also use them to highlight true citizen needs and priorities. A series of community meetings through the districts in each municipality gathers input to help determine the anchor service, establish SDIP priorities and generally help citizens give the municipalities their priorities. We will facilitate the municipality using this citizen forum approach for gathering input on other issues throughout the year. We will assist the municipality to use this approach for other activities, like budget priorities, economic development visioning, etc. We would also assist on expanding the citizen forums into a more general municipal outreach strategy for each municipality. Herat also has an Advisory Board and we will seek to strengthen it. We will investigate the possibility and desire of other municipalities using advisory boards. We will also conduct the external survey again in Option Year #1.

This activity contributes to PMP indicators A01.1, A02.1, A02.2, 1.3 and C3.

Activity 2.5 Develop Service Delivery Improvement Plans (SDIPs)

We will assist each municipality to develop a general SDIP based on the citizen engagement process (activity 2.4). This involves developing a list of priority projects and services to drive the decision making and budget of the municipality. We will help the municipality implement a process to generate the general list of projects across all departments for inclusion into the SDIP. We will then help them incorporate the SDIP into the budget cycle. We will also assist in preparing a specific SDIP for the anchor service. This will look at the specific needs of that one

service. It will go far more in-depth in examining and prioritizing needs of that service and will serve as a model for individual services in the future.

This activity contributes to PMP indicators A01.1, A02.01, A02.2, 2.1, 2.2 and 2.3.

Activity 2.6 Implement Service Delivery Improvement Plans

As municipalities prepare the SDIPs RU-W will assist in implementing them. This will mainly involve municipal resources (we will integrate this with work on increasing revenues) but we could use some RU-W CLIN 2 Service Delivery Funds. On the general SDIP we will assist them to include SDIP priorities in the budget for funding. We will work with them on making choices among competing priorities. On the anchor service we will help them integrate their specific SDIP into their formal budget request. We will work with the municipality to prioritize their needs for the service based on good budgeting and performance management. RU-W will use some of its CLIN 2 Service Delivery Funds on priority items included in the anchor service SDIP. For example, on water service it might include a mobile water quality testing lab or a water pipe mobile camera, etc.

This activity contributes to PMP indicators A01.1, A02.01, A02.2, 2.1, 2.2 and 2.3.

Activity 2.7 Improve Municipal Performance Management Systems

RU-W in Option Year #1 will work on implementing a performance management system for the anchor service. We will help the municipalities to develop this as a model. Later in the year we will introduce the system through this model to other municipal officials. (If we have a second option year we could roll out the system to other departments/services.)

This activity contributes to PMP indicators A01.1, A02.1, A02.2, 1.1, 2.1 and C1

Activity 2.8 Development of Municipal Master Land Use Plans

In the Base Year RU-W is digitizing maps and attaching land use classifications to all municipal parcels. This provides the basic mapping infrastructure for all future work in land use planning. We should complete this work by December 2011. Also in Option Year #1 we will develop a model process to take this base mapping data and provide the necessary steps for creating a new land use plan. We will detail all the steps in the process, including how to involve citizen input. We could provide some limited assistance in implementing these steps but will not have sufficient funds to fully implement it.

This activity contributes to PMP indicators A02.1, A02.2, 1.3, 2.1, 2.3 and C1.

Activity 2.9 Strengthen Afghan Implementing Partners

In the Base Year RU-W began providing assistance to construction companies involved in the expeditious projects. We used the projects themselves as living laboratories to emphasize learning principles. In Option Year #1 we will continue this until all expeditious projects are complete. Also in Option Year #1 we will conduct an assessment of NGOs who interact most with our partner municipalities. We will determine some capacity building interventions to maximize their constructive engagement with the municipalities. We will also work with local

media to increase their understanding and awareness about municipal governance so they can provide more effective coverage. We will explore opportunities to capitalize and build upon the work of the Initiative to Promote Afghan Civil Society II (I-PACS II) in civic education and municipal engagement. We will also work with Herat University to strengthen its new programs in public administration and linking them to both RU-W and municipal partners.

This activity will contribute to PMP indicators 1.3 and C1.

CLIN 3: SUPPORT THE GIROA TO INCREASE REVENUE AT THE MUNICIPAL LEVEL

During the Base Year RU-W worked with each municipality on an analysis of their revenue picture for the previous 3 years. We also worked with them on analyzing current collections against the budgeted amounts and helping them conform their reporting to meet the new Chart of Account (COA) requirements established by the MoF. We also introduced the Revenue Improvement Action Plan (RIAP) process to focus their efforts on fully understanding each revenue, their collection processes and developing strategies for improving existing or starting new revenues.

In Farah, Qala-e-Naw and Chaghcharan our initial examinations determined that these three municipalities did not know how to fill out the forms for household and business registration. So, we started capacity building on filling out the proper forms.

In all four target municipalities we started the process of developing an economic development plan with considerable community input. We will help finalize these in the first quarter of Option Year #1. This will determine the efforts the community will take to support economic development and municipal services to support businesses. At this point RU-W will determine the assistance it can provide to support specific recommendations emanating from the plan.

Activity 3.1 Establish Baselines

In the Base Year we established revenue baselines for all municipalities. We developed 3 year statistics for each and then used these for designing interventions in forecasting. We also helped municipalities analyze projected (budgeted) vs. collected revenues during the year.

This activity will contribute to PMP indicators 2.1, 3.2, 3.3 and C1.

Activity 3.2 Increases Revenue Collection

As mentioned above, we prepared and presented revenue baselines and the actual vs. budgeted analysis to each municipality. We will build on these and make sure municipalities can do these in the future. In Option Year #1 we will also work on process mapping to highlight the implementation of key revenue sources. This will allow us to assist the municipality to identify and resolve bottlenecks and re-engineer the processes for increased revenue generation. We will also prepare Revenue Improvement Action Plans (RIAPs) for main revenue sources. This will allow a comprehensive planning and implementation approach to revenue generation. It will look at all main revenues as well as revenues currently not collected and under-collected to employ a comprehensive approach to increasing revenue. This will work with municipalities to ultimately develop specific strategies to increase revenues and would reflect all RU-W assistance. We will also provide capacity building and assistance on revenue forecasting to incorporate in 1391 budget preparation.

This activity will contribute to PMP indicators 2.1, 3.2, 3.3 and C1.

Activity 3.3 Increase Household and Business Registration

During the Base Year we learned Chaghcharan, Qala-e-Naw and Farah did not fill in the appropriate forms now existing. We started working with them on how to do this. We will continue in Option Year #1 to make sure they do this properly. We will also use the land use base mapping as a check on the registration records to determine those households and businesses not included on the municipal registries. For Herat, RU-W will explore a new registration system developed by RAMP UP East and IDLG and how we can assist Herat to implement it effectively. This would include an active public outreach campaign to get citizens to understand their responsibility on registration and actually registering.

This activity will contribute to PMP indicators 2.1, 3.2, 3.3 and C1.

Activity 3.4 Develop Municipal Economic Development Plans

In the Base Year we started a participatory process in all 4 municipalities to develop an Economic Development Plan. This plan will outline necessary actions the community can take to improve economic development. It will include actions for the municipality as well as other community stakeholders. It includes community participation and development of an economic profile for each community. A joint municipal-community steering committee leads the process. We should complete these by February. We will provide assistance to help publicize and monitor the plan and its implementation.

This activity will contribute to PMP indicators A02.1, A02.2, 1.3, 2.1, 2.2, 3.1, 3.2 and 3.3.

Activity 3.5 Strengthen Municipal Capacity to Support Economic Development

In Option Year #1 RU-W will provide assistance to the municipality to support actions requested of it in the Economic Development Plan. We can update the workplan to provide more specificity on the types of assistance once each community completes their plan.

This activity will contribute to PMP indicators A02.1, A02.2, 1.3, 2.1, 2.2, 3.1, 3.2 and 3.3.

Activity 3.6 Improve Municipal Services to Businesses

In Option Year #1 RU-W will provide assistance to the municipality to support actions requested of it in the Economic Development Plan. It seems likely this would include municipal services to businesses but we will allow each plan to dictate our assistance. We can update the workplan to provide more specificity on the types of assistance once each community completes their plan.

This activity will contribute to PMP indicators A02.1, A02.2, 1.3, 2.1, 2.2, 3.1, 3.2 and 3.3.

Activity 3.7 Leverage Municipal Assets for Economic Growth

RU-W took no actions under this activity in the Base Year. (Partially because of funding uncertainties and whether we would have a second year.) In Option Year #1 we will first

conduct a basic training on asset management. We will follow this with assistance to develop (or update/finalize) a database of all municipal assets. Later in the year we will have an intermediate course (with follow-up assistance) to explore how they can more effectively utilize municipal assets. It would address renting and selling of assets as well as operations and maintenance of assets. We will then work with them to develop and implement the needed regulations and strategies related to municipal assets.

This activity will contribute to PMP indicators 2.1, 3.1, 3.2, 3.3 and C1.

Activity 3.8 Generate Greater Awareness about Innovative Public-Private Partnerships

RU-W took no actions under this activity in the Base Year. (Partially because of funding uncertainties and whether we would have an option year.) In Option Year #1 we will introduce the concept of PPPs in a training on alternative service delivery. We will offer PPPs as one possible mechanism for delivering municipal services. Moreover, we will explore in greater detail the use of PPPs for the anchor service. We will work with the municipality on its anchor service to investigate more effective service delivery mechanisms in improving and broadening municipal service delivery. This might include expanded use of private sector participation in solid waste collection, the provision of water, etc.

Analysis of data collected from the Internal Survey, functional audits and Economic Baseline Survey will inform RU-W's strategy for fostering PPPs through the economic development process. RU-W will work through the Municipal Business Forums to assess and identify opportunities for public-private partnerships. It will educate and train municipal officials in best practices in public-private partnerships. RU-W will support municipalities to create a strategy for engaging the business community and developing public-private partnerships that support the municipality's Economic Development Plan and efforts for ensuring sustainable municipal service delivery.

This activity will contribute to PMP indicators 2.1, 3.1 and C1.

MUNICIPAL INTERNSHIP PROGRAM

Based on the functional audit findings, RU-W will target certain municipal departments for placement of municipal interns. This will provide needed support for the municipality and help identify and train potential future municipal employees. It will also get more youth involved in municipal governance. We will provide interns primarily in departments RU-W programming supports. We will also develop a curriculum for a primer on basic municipal governance and provide this course for the interns. This will build their capacity as future municipal employees but allows us to test out a possible orientation or municipal governance diploma curriculum. This could be a useful tool for preparing future municipal employees, particularly in rural areas.

This activity will contribute to PMP indicators A01.1, A02.1, A02.2, 2.1, 3.2, 3.3 and C1.

MUNICIPAL INCENTIVE FUND

RU-W will allocate a portion of its CLIN 2 Service Delivery Funds in Option Year #1 for a competitive program to recognize good municipal performance among its partner municipalities. This will allow partner municipalities to compete among themselves for awards based on good performance. We hope to use the element of competition to encourage greater municipal

commitment to good governance concepts. We will develop program guidelines for this by February for implementation in the second half of the project year.

This activity will contribute to PMP indicators A01.1, A02.1, A02.2, 1.3, 2.1, 2.2, 2.3, C2 and C3.

DEVELOPMENT OF MUNICIPAL IMPROVEMENT PLANS

RU-W will take all assistance to be provided to a municipality and compile it as a Municipal Improvement Plan (MIP) for that municipality in the format proscribed by IDLG. It will highlight all activities and products that RU-W will assist them with. We will finalize this in November once USAID approves the final work plan.

AFGHAN FIRST (STRENGTHENING IMPLEMENTING PARTNERS)

RU-W subcontracts, purchase orders and grants will go in preference to Afghan firms and organizations. RU-W will source all resources and construction materials locally from Afghan suppliers, unless the materials are unavailable on the local market. To improve the quality of services RU-W will receive, DAI will provide a variety of on-demand support opportunities to non-governmental organizations. We will concentrate on firms and organizations that can provide services needed by municipalities, such as construction and engineering, strategic communications and public relations, accounting/auditing, logistics, training and facilitation.

CHALLENGES, RISKS AND ASSUMPTIONS

RU-W faces a number of risks and challenges during the life of the program, and must also include an array of assumptions related to its counterparts to ensure the project continues smoothly and without delay. In several instances, RU-W will rely on USAID as the lead donor in liaising with IDLG, RU-W's primary counterpart, to help mitigate several challenges that we will face during implementation. They are listed in detail below:

Addressing the ambiguous policy/legal environment for municipalities. A new GIROA sub-national governance policy has been adopted and a new Law on Municipalities is due to be enacted on a date yet to be determined. Meanwhile the lack of a coherent legal framework that governs (a) the work of municipalities, and (b) defines the relations between municipalities and other GIROA national and sub-national institutions (e.g. MUDA, IARCSC and MoF in budgetary matters) presents a clear challenge to RU-W implementation. This ambiguity also extends to municipal relations with other local government actors (such as the relationship between Provincial Governors and Mayors and Mayors of provincial capitals in relation to mayors of district towns), as well as specific municipal services, such as water and power, that currently fall outside the mandate of municipalities. Several reform measures that RU-W is expected to promote are not yet enshrined in law, such as increasing citizen participation in municipal decision making and governance. These challenges will need to be addressed through close collaboration with IDLG and USAID; IDLG in particular will need to be prepared to engage directly with these issues as required. At a minimum, and at the direction of IDLG and USAID, RU-W will work within the confines of the existing Law on Municipalities (2000) and GIROA systems and regulations (such as those governing public finance and procurement), but will

design and implement program interventions that anticipate and reinforce the anticipated municipal legal framework.

IDLG Playing an effective role in coordinating with other key GIRoA ministries and offices. To ensure sustainable, effective, and lasting change, RU-W will require IDLG to coordinate closely with other GIRoA entities, including the Ministry of Urban Development as well as the Independent Administrative Reform and Civil Service Commission (IARCSC) and its Afghan Civil Service Institute (ACSI).

The Future of Public Administration and Civil Service Reform: RU-W will begin training municipal officials, none of whom have undergone the IARCSC public administration reform program. The Tashkeel will change following the PAR process; thus, RU-W will rely on IDLG and USAID to help guide training so that resources are not spent on civil servants who may not exist following the PAR process. PAR could be considered a prerequisite for effective, sustainable capacity development if sufficient numbers of public officials will change.

Ability and Will of IDLG to Enforce Commitments: IDLG must be willing to monitor compliance to ensure non-compliant municipalities are not rewarded for poor performance and bad behavior. Moreover, we also need IDLG to intervene in situations that disrupt the abilities of municipalities to perform their work. For example, when the Ghor Governor removed the municipality from the municipal offices and renovated it into a provincial guest house, IDLG needs to step in. The same is in the case of a Governor suspending municipal collection of the Safayi or other municipal revenues.

IDLG Will Lead Donor Coordination: with other implementing partners (ASGP, RU-W S/N/E) to avoid duplication of efforts. IDLG convenes and chairs monthly RU-W coordination meetings in which issues pertaining to RAMP UP (N,E,W,S) as well as ASGP will be discussed. Regular co-ordination meetings will be held between RU-W and ASGD to ensure co-ordination in Western regions.

IDLG's General Directorate of Municipal Affairs Requires Strengthening at the Tashkeel level: IDLG's GDMA provides central linkages with municipalities in the areas of communications, oversight, support and reporting need to be strengthened to ensure reform efforts implemented under RU-W are institutionalized and sustained. Additional donor support will be required to strengthen GDMA capacity, beyond those of RU-W, which include the capacity development efforts of RU-W's Senior Municipal Governance Advisor and Directorate of Municipal Affairs Liaison Officer.

LEGISLATIVE FRAMEWORK

The law currently governing municipalities is the 2000 Municipal law that was promulgated under the Taliban. In 2009 attempts were made to address the lack of legislation pertaining to municipalities and there is reportedly draft legislation which has been revised (2011) and is due to come before parliament. It is currently only available in Dari.